Practitioner's Docket No. U 012452-9   *PATENT*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application
of

<div style="text-align:center">Inventor(s)</div>

for

<div style="text-align:center">Title of invention</div>

<div style="text-align:center">

OR

</div>

In re application of: CHANGSHENG XU, et al.
Serial No.: 09/445,139   Group No.: 2766
Filed: December 2, 1999   Examiner.: --
For: METHOD AND APPARATUS FOR WATERMARKING WAVETABLE
SYNTHESIS ARCHITECTURES

Assistant Commissioner for Patents
Washington, D.C. 20231

<div style="text-align:center">

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
WITHIN THREE MONTHS OF FILING OR
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. 1.97(b))

</div>

<div style="text-align:center">

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10*
*(When using Express Mail, the Express Mail label number is **mandatory**;*
Express Mail certification is optional.)

</div>

I hereby certify that, on the date shown below, this correspondence is being:

<div style="text-align:center">

MAILING

</div>

☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

        37 C.F.R. 1.8(a)   **37 C.F.R. 1.10***

☒ with sufficient postage as first class mail.   ☐ as "Express Mail Post Office to Addressee"
                                                            Mailing Label No. _____ (mandatory)

<div style="text-align:center">

TRANSMISSION

</div>

☐ transmitted by facsimile to the Patent and Trademark Office.

Date: July 12, 2002 _____

Signature _____
JULIAN H. COHEN
(type or print name of person certifying)

*   *Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.*

<div style="text-align:center">

(Transmittal of Information Disclosure Statement Within Three Months of Filing or Before Mailing of First Office Action—page 1 of 3) 6-3

</div>

NOTE: 37 C.F.R. 1.98(b):

(1)   Each U.S. patent listed in an information disclosure statement must be identified by inventor, patent number, and issue date.

(2)   Each U.S. patent application published listed in an information disclosure statement shall be identified by applicant, patent application publication number, and publication date.

(3)   Each U.S. application listed in an information disclosure statement must be identified by the inventor, application number, and filing date.

(4)   Each foreign patent or published foreign patent application listed in an information disclosure statement must be identified by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.

(5)   Each publication listed in an information disclosure statement must be identified by publisher, author (fi any), title, relevant pages of the publication,,date, and place of publication.

WARNING: No extension of time can be had under 37 C.F.R. § 1.36 (a) or (b) for filing an IDS. 37 C.F.R. § 1.97(f).

NOTE: The "filing date of a national application" under 37 C.F.R. 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark office, the filing is defined in 37 C.F.R. 1.53(b) as "the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41." 37 C.F.R. 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the national fee; (2) a copy of the international application, unless already sent by the International Bureau, and an English translation if filed in another language; (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the international preliminary examination report, if such annexes were made in another language. 37 C.F.R. 1.97(b)(2).

IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. 1.97(b).

NOTE: "No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing."

NOTE: "An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 C.F.R. 1.8, or Express Mail certificate under 37 C.F.R. 1.10. An office action is mailed on the date indicated in the Office action." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

NOTE: "The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three-months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).
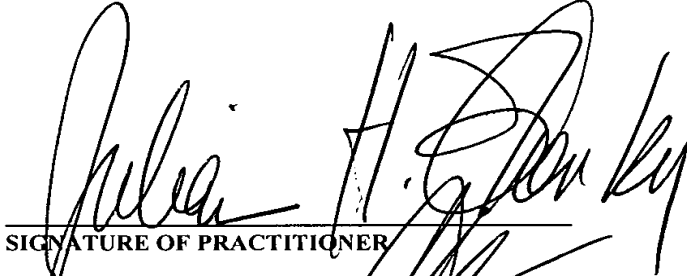
NOTE: "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirements (37 C.F.R. 1.142) or just a requirement for additional fees to have a claim considered (37 C.F.R. 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).
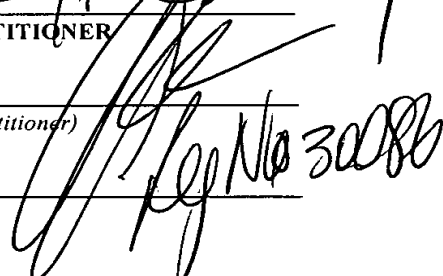
WARNING: "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63).

Reg. No. 20302

Tel. No.: (212) 708-1887

Customer No.: 00140

_____
SIGNATURE OF PRACTITIONER

JULIAN H. COHEN
(type or print name of practitioner)

_____
P.O. Address

_____
c/o Ladas & Parry
26 West 61st Street
New York, N.Y. 10023

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: CHANGSHENG XU, et al.

Serial No.: 09/445,139	Group No.: 2766
Filed: December 2, 1999	Examiner.: --

For: METHOD AND APPARATUS FOR WATERMARKING WAVETABLE

SYNTHESIS ARCHITECTURES
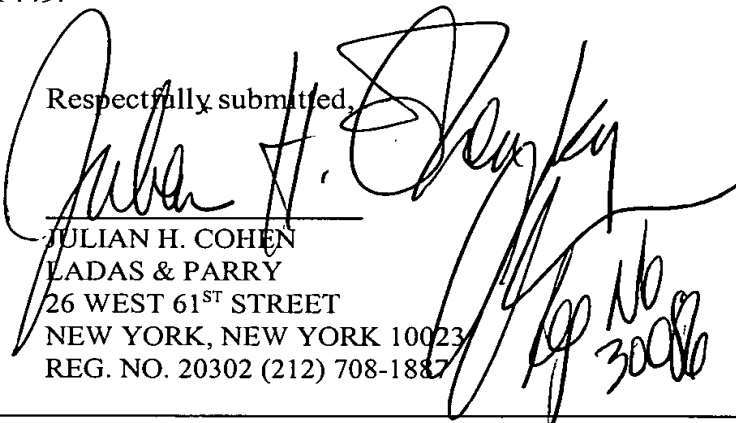
Attorney Docket No.: U 012452-9

Assistant Commissioner for Patents
Washington, D.C. 20231
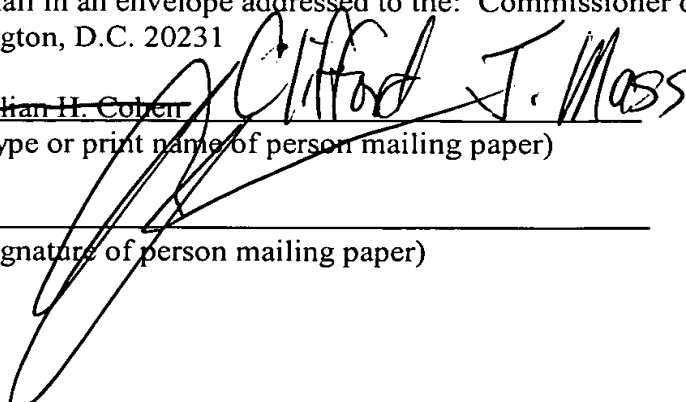
Sirs:

INFORMATION DISCLOSURE STATEMENT

We draw the attention of the Examiner to the attached references which are also

listed on the attached Form PTO-1449.

Respectfully submitted,

JULIAN H. COHEN
LADAS & PARRY
26 WEST 61ST STREET
NEW YORK, NEW YORK 10023
REG. NO. 20302 (212) 708-1887

CERTIFICATE OF MAILING (37 CFR 1.8a)

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner of Patents and Trademarks, Washington, D.C. 20231

Julian H. Cohen
(Type or print name of person mailing paper)

Date: July 12, 2002

(Signature of person mailing paper)